

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Pre Application

Inventor: Shek Fai Lau et al.  
Appl. No.: 10/023,197  
Confirm. No.: 3618  
Filed: December 13, 2001  
Title: Electro-Kinetic Air Transporter-Conditioner Device  
with Enhanced Cleaning Features

PATENT APPLICATION

Art Unit: 1711  
Examiner: Thao T. Tran  
Docket No. SHPR-01041USI

**CERTIFICATE OF MAILING UNDER 37 CFR §1.8**

I hereby certify that this correspondence is being deposited in the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on the date shown below.

By:

Linda Saunders  
Linda Saunders

Dated: September 1, 2004

**THIRD INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.56**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

It is requested that the information identified in this statement be considered by the Examiner and made of record in the above-identified application. This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56. If this is a continuation, divisional or continuation-in-part application, it is understood that the Examiner will consider all information which was considered by the Office in a parent application. MPEP §609. Such information therefore is not listed herein unless it is desired that the information be printed on a patent issuing from the subject application.

***Enclosed with this statement are the following:***

- ☒ Form PTO-1449. The Examiner is requested to initial the form and return it to the undersigned in accordance with MPEP §609.
- ☐ The present application is being/was filed after June 30, 2003. In accordance with the pre-Official Gazette waiver of 37 CFR 1.98 (a)(2)(i) posted at [pac/dapp/opla/preognotice/idswouscopies.htm](#), copies of cited U.S. patents and publications are not enclosed. Copies of cited foreign patent documents and non-patent literature are enclosed in accordance with 37 C.F.R. §1.98(a)(2), as still required.
- ☒ The present application was filed prior to June 30, 2003. A copy of each cited document as required by 37 C.F.R. §1.98 is enclosed.
- ☒ This Information Disclosure Statement is being filed on the same date as an electronic Information Disclosure Statement for this application. However, since these IDSs are being filed before an Office Action issues after the filing of an RCE, no fee is due for either the electronic IDS or this IDS.

***This statement should be considered because:***

X **37 CFR §1.97(b).** This statement qualifies under 37 CFR §1.97, subsection (b) because:

- (1) It is being filed within three months of the filing date of an application other than a continued prosecution application under §1.53(d);  
-- OR --
- (2) It is being filed within 3 months of entry of a national stage;  
-- OR --
- (3) It is being filed before the mailing date of the first Office Action on the merits,  
-- OR --
- (4) It is being filed before the mailing date of the first Office Action after the filing of a Request for Continued Examination under 37 CFR §1.114.

— **37 CFR §1.97(c).** Although it may not qualify under subsection (b), this statement qualifies under 37 CFR §1.97, subsection (c) because:

- (1) It is being filed before the mailing date of a FINAL Office Action, a Notice of Allowance, or an action that otherwise closes prosecution in the subject application, whichever occurs first.

-- AND (check at least one of the following) --

- (1) It is accompanied by a STATEMENT as set forth in 37 CFR §1.97(e).  
-- OR --  
— (2) It is accompanied by the \$180 fee set forth in 37 CFR §1.17(p).

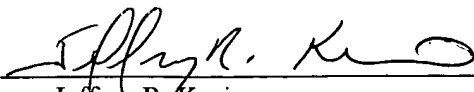
— **37 CFR §1.97(d).** Although it may not qualify under subsection (b) or (c), this statement qualifies under 37 CFR §1.97, subsection (d) because:

- (1) It is being filed on or before payment of the issue fee;  
-- AND --
- (2) It is accompanied by a STATEMENT as set forth in 37 CFR §1.97(e);  
-- AND --
- (3) It is accompanied by the \$180 fee set forth in 37 CFR §1.17(p).

X **Fee Authorization.** The Commissioner is hereby authorized to charge underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 06-1325.

Respectfully submitted,

Date: September 1, 2004

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FORM PTO-1449  
(Substitute)



US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Attorney Docket Number  
SHPR-01041USI

Serial No.  
10/023,197

**INFORMATION DISCLOSURE CITATION  
BY APPLICANT**

Applicant  
Shek Fai Lau et al.

Filing Date  
December 13, 2001

Group Art Unit  
1711

**PENDING U.S. PATENT APPLICATIONS**

Examiner Initial		Application Number	Filing Date	Inventor	Petition to Expunge	
					Yes	No
	1.	60/104,573	10/16/1998	Krichtafovitch		X
	2.	10/405,193	4/1/2003	Lee et al.		X

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document Number	Publication Date	Country	Translation	
					Yes	No
	3.	WO03/009944 A1	2/6/2003	International	✓	
	4.	WO03/013620 A1	2/20/2003	International	✓	
	5.	EP 0433152 A1	12/10/1990	Europe	✓	
	6.	CN 2111112 U	7/29/1972	China	✓	
	7.	CN 2138764 Y	6/27/1993	China	✓	
	8.	CN 2153231 Y	12/18/1993	China	✓	
	9.	CN 87210843 U	7/6/1988	China	✓	
	10.	DE 2206057	8/16/1973	Germany	✓	
	11.	GB 643,363	9/20/1950	Great Britain	✓	
	12.	JP S51-90077	8/6/1976	Japan	✓	
	13.	JP S62-20653	2/7/1987	Japan	✓	

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, etc.)

	14.	Trion Console 250 Electronic Air Cleaner, Model Series 442857 and 445600, Manual for Installation-Operation-Maintenance, Trion Inc., 7 pp., believed to be at least one year prior to Nov. 5, 1998
	15.	Trion 350 Air Purifier, Model 450111-010, <a href="http://www.feddersoutlet.com/trion350.html">http://www.feddersoutlet.com/trion350.html</a> , 12 pp., believed to be at least one year prior to Nov. 5, 1998
	16.	Trion 150 Air Purifier, Model 45000-002, <a href="http://www.feddersoutlet.com/trion150.html">http://www.feddersoutlet.com/trion150.html</a> , 11 pp., believed to be at least one year prior to Nov. 5, 1998
	17.	Trion 120 Air Purifier, Model 442501-025, <a href="http://www.feddersoutled.com/trion120.html">http://www.feddersoutled.com/trion120.html</a> , 16 pp., believed to be at least one year prior to Nov. 5, 1998
	18.	Friedrich C-90A Electronic Air Cleaner, Service Information, Friedrich Air Conditioning Co., 12 pp., 1985
	19.	LakeAir Excel and Maxum Portable Electronic Air Cleaners, Operating and Service Manual, LakeAir International, Inc., 11 pp., 1971
	20.	Blueair AV 402 Air Purifier, <a href="http://www.air-purifiers-usa.biz/Blueair_AV402.htm">http://www.air-purifiers-usa.biz/Blueair_AV402.htm</a> , 4 pp., 1996
	21.	Blueair AV 501 Air Purifier, <a href="http://www.air-purifiers-usa.biz/Blueair_AV501.htm">http://www.air-purifiers-usa.biz/Blueair_AV501.htm</a> , 15 pp., 1997

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

NonAsterisked Items: Copies not submitted because they were submitted in prior application, filed, and relied upon under 35 USC §120.